



## 简化手续专家组（FALP）

### 第十四次会议

2026年4月20日至24日，蒙特利尔

#### 议程项目 4：简化手续专家组各工作组的报告

#### 国际民航组织简化手续专家组附件 9 工作组（WGA9）的报告

（由报告员代表国际民航组织简化手续专家组 WGA9 提交）

#### 摘要

本文件总结了 WGA9 根据职权范围和简化手续专家组第十三次会议（FALP/13）制定的 2024—2026 年工作方案所开展的工作。

简化手续专家组的行动在第 3 段。

#### 1. 引言

1.1 国际民航组织简化手续专家组第十二次会议（FALP/12）成立了附件 9 工作组（WGA9），因为需要保持附件中措辞和结构的一致性，包括保持简化手续标准和建议措施（SARPs）的简洁明了，保持其对所有国际民航组织缔约国的相关性和适用性。

1.2 WGA9 由来自奥地利、比利时（报告员）、巴西、加拿大、法国、德国、肯尼亚、新西兰、新加坡、瑞士、联合王国、美国和赞比亚的专家，以及国际航空运输协会（IATA）和航空公司驾驶员协会国际联合会（IFALPA）的代表组成。国际民航组织秘书处根据需要在 WGA9 会议上提供意见和支持。

1.3 WGA9 于 2025 年 2 月 12—14 日在新加坡和 2026 年 2 月 11—13 日在比利时布鲁塞尔举行了会议。2025 年 5 月 15 日还以虚拟形式举行了一次届会间会议。这些会议按照其权限和 FALP/13 次会议批准的工作方案，继续推进 WGA9 的工作。这包括在附件 9 第 10 章中引入两项关于机组人员待遇的新标准的建议草案，以及对当前工作和未来方向的讨论。

1.4 布鲁塞尔会议是在新任报告员领导下召开的第一次会议，他借此机会回顾了 WGA9 取得的进展以及今后工作的范围和重点。

1.5 对附件 9 的审查是一个持续的过程，鼓励更多的国家加入该小组，以确保意见和专业知识的多样性，从而实现及时和审慎的进展。

## 2. 讨论

2.1 在届会闭会期间，WGA9 遵循本周期开始时制定的工作方案，特别是继续审查附件 9 的《标准和措施》（SARPs），这项工作仍在进行中。这包括优先全面审查第 2 章，以及与负责第 8 章无障碍通行相关规定的小组协调工作。WGA9 还根据继续与其他专家组工作组协调工作，包括就第 3 章问题与国际民航组织旅客身份识别方案技术咨询组（TAG/TRIP）实施和能力建设工作组（ICBWG）进行协调，其成果将由各工作组分别处理。根据商定的优先次序，还启动了对第 5 章和第 7 章的初步审查。

2.2 此外，WGA9 还审议了专家组（FALP13）交办的关于机组人员待遇的《标准和措施》问题。这些讨论提出了两项拟议标准，现载于附录 A（影响评估见附录 B），并建议专家组考虑将其放在第 10 章的一个专门小标题下。

2.3 成员们注意到，鉴于第 30 次修订引入了大量改动，在本次届会闭会期间不欲对附件 9 进行大规模修订。各国需要足够的时间来实施上述这些改动，此后再做出进一步的实质性修改。此外在这一周期内，报告员也发生了变动，这导致 SARP 的审查速度放缓，但也为 WGA9 创造了机会，使其能够战略性暂停，并重置其目标和工作安排。

2.4 做为重置工作的一部分，WGA9 对其职权范围（ToR）进行了审查，目的是明确工作组的工作范围、职责、工作方法和程序要求。成员们确认，简化手续专家组批准的任务授权仍然有效，并同意在不扩大其范围的情况下对职权范围进行澄清，以提高程序的清晰度。这些澄清包括：WGA9 如何审查条款的清晰度、一致性和可实施性；如何根据审查发现的潜在差距拟议新的条款；以及各个分组如何运作并向工作组全体成员报告。WGA9 商定，修订后的职权范围还将正式确定连续性安排、秘书处辅助职能、各分组的透明度要求、以及实用的工作工具如 Microsoft Teams 协作环境、动态的工作方案和更好地获取参考资料。附录 C 载有更新后的职权范围，反映了这些澄清内容。

2.5 为筹备下一周期的工作，WGA9 同意为 2026—2027/8 年制定一个结构化、动态的工作方案，以整合专家组的任务分配、未完成的工作和相互依存关系，并确认了未来的会议安排，以保持发展势头。总之，这些成果恢复了 WGA9 工作框架的清晰度，同时推进了有针对性的技术产出，加强了附件 9 持续现代化的规划和协调。

2.6 附件 9 自 1949 年首次通过以来不断演变，反映了国际民用航空的重大变化。WGA9 认识到，确保附件 9 的持续相关性、清晰性和可实施性是一项持续的工作。因此需要开展持续的审查工作，既要遵照专家组的任务设定，也要系统、持续地审查 SARPs 本身。优先排序仍然至关重要，以确保最紧迫的运行相关问题在每个工作周期内都能得到关注。

### 3. 建议

#### 3.1 请简化手续专家组：

- a. 注意到 WGA9 在履行其职责方面取得的进展；
- b. 审议附件 9 — 《简化手续》的修订草案（附录 A）以及影响评估和实施任务清单（附录 B）；
- c. 核准对 WGA9 职权范围的拟议修改（附录 C）；和
- d. 同意 WGA9 优先考虑并继续审查附件 9 — 《简化手续》，并指出专家组及其工作组希望在未来周期向 WGA9 寻求建议的任何具体领域。

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## 附录 A

### 附件 9 — 《简化手续》的修订建议

#### 第 10 章

#### 与卫生有关的规定

##### **E. 机组人员的待遇**

10.xx 在国际关注的突发公共卫生事件期间采用强化的边境管制措施时，各缔约国须尽可能为机组成员提供便利，加快并简化其入境和离境程序。

10.xx 在国际关注的突发公共卫生事件期间采用强化的边境管制措施时，规定为机组成员提供临时住宿的各缔约国须确保该等设施（包括正常供餐、供水和紧急出口）有利于机组成员的休养，这对其履行机组职责至关重要。

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## APPENDIX B

## RECOMMENDATIONS FOR AMENDMENT TO ANNEX – FACILITATION

## NEW STANDARD PROPOSALS: AMENDMENT 32, ANNEX 9, CHAPTER 10

Standards: 10.xx, 10.xx

## IMPACT ASSESSMENT

## 1. What is the problem that this proposal is designed to address?

*Please include specific details*

This proposal is designed to address inconsistent and unreasonable treatment of air crews across jurisdictions during public health emergencies of international concern. Differing national measures, including quarantine requirements, movement restrictions, onerous testing protocols, and limitations on access to suitable, safe accommodations, places undue burdens on crew members – who are essential to the aviation sector – that, in some cases, resulted in unsafe or inhumane conditions. These disparities have had disruptions to airlines' operations at a time when supply chain continuity and the flow of medical supplies is critical. In response, the 41st Assembly of the International Civil Aviation Organization called for the development of harmonized Standards and Recommended Practices on crew treatment. This proposal seeks to amend Chapter 10 of Annex 9 to establish consistent, humane, and operationally sound standards that safeguard crew health and preserve international air connectivity during future public health emergencies of international concern.

## 2. What alternatives to SARPs were considered to solve the problem?

None	Circular	Manual	Policy	<i>Other (please explain)</i>
	X	X	X	

3a. What is the impact of this proposal on a **State**?

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
Implementing this proposal will enhance civil aviation safety		X			
<i>Rationale:</i>					
This proposal will enhance civil aviation safety by establishing harmonized, predictable standards for crew treatment during public health emergencies of international concern, ensuring that crew members can obtain adequate rest and operate safely while maintaining international air connectivity.					
Implementing this proposal will increase air navigation capacity and improve efficiency	X				
<i>Rationale:</i>					
Consistent global approaches will reduce disruptions, avoid unnecessary crew quarantines and extended layovers, and enable more predictable scheduling and route planning, thereby improving operational efficiency					
Implementing this proposal will enhance global civil aviation security and facilitation (taking into account impact on human rights, health and privacy, if any)	X				
<i>Rationale:</i>					

Implementing this proposal will foster the development of a sound and economically-viable civil aviation system					
<i>Rationale:</i>					
Harmonized crew treatment standards will enhance global civil aviation security and facilitation by promoting consistent, humane, and rights-respecting approaches to crew treatment during public health emergencies of international concern, while safeguarding crew health, supporting operational continuity, and reducing unnecessary restrictions that may adversely affect privacy and fundamental rights.					
Implementing this proposal will minimize the adverse environmental effects of civil aviation activities			X		
<i>Rationale:</i>					
Non-applicable					

3b. Do the benefits of this proposal justify the cost of its implementation?

Yes	No	Not sure	Not applicable
X			

4a. What is the impact of this proposal on **Industry**?

	<i>Strongly Agree</i>	<i>Agree</i>	<i>Neutral</i>	<i>Disagree</i>	<i>Strongly Disagree</i>
Implementing this proposal will enhance civil aviation safety		X			
<i>Rationale:</i>					
Harmonized crew treatment standards during public health emergencies of international concern will help ensure adequate crew rest, reduce operational uncertainty, and support safe and reliable flight operations.					
Implementing this proposal will increase air navigation capacity and improve efficiency		X			
<i>Rationale:</i>					
Consistent global approaches will reduce disruptions, avoid unnecessary crew quarantines and extended layovers, and enable more predictable scheduling and route planning, thereby improving operational efficiency.					
Implementing this proposal will enhance global civil aviation security and facilitation (taking into account impact on human rights, health and privacy, if any)	X				
<i>Rationale:</i>					
The proposal promotes balanced, rights-respecting measures that safeguard crew health while facilitating international operations, strengthening coordination and reducing fragmented or overly restrictive practices.					
Implementing this proposal will foster the development of a sound and economically-viable civil aviation system		X			
<i>Rationale:</i>					
By reducing disproportionate costs, preventing competitive distortions, and preserving international connectivity during emergencies, the proposal supports fair competition and long-term industry sustainability.					

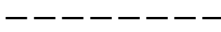
Implementing this proposal will minimize the adverse environmental effects of civil aviation activities			X		
<i>Rationale:</i> Non-applicable.					

4b. Do the benefits of this proposal justify the cost of its implementation?

Yes	No	Not sure	Not applicable
X			

5. How long would it take for States and Industry to implement this proposal?

Already implemented	0-1 years	1-2 years	2-5 years	5-10 years	More than 10 years
	X				



**IMPLEMENTATION TASK LIST AND OUTLINE OF GUIDANCE MATERIAL**

1. **IMPLEMENTATION TASK LIST**

1.1 **Essential steps to be followed by a State in order to implement proposed amendments<sup>1</sup>**

***[SARP/TOPIC]***

1.1.1 For States that already [implement the SARP or take action on the TOPIC], no action is necessary. For those that do not, the essential steps are the following:

- a) Conduct a review of existing national legislation, regulations, and public health emergency frameworks to identify gaps or inconsistencies with the proposed amendments to Annex 9.
- b) Decide if amendments or updates to relevant laws, regulations, policies, and guidance material to align with the new Standards are required.
- c) Establish or strengthen coordination mechanisms among civil aviation, public health, border control, and immigration authorities to ensure harmonized and consistent application.
- d) Develop or revise operational procedures and contingency plans addressing crew movement, testing, quarantine exemptions, rest, and accommodation arrangements in line with the new standards.
- e) Provide training, guidance, and outreach to relevant authorities and industry stakeholders to promote consistent understanding and implementation of the new provisions.

<sup>1</sup> Amendment of a format or clarification nature are not allowed in this Appendix.

Legislation, regulations, policies, procedures, training, implementation, modification, supervision, assessment, compliance, gap analysis, consideration,

**2. STANDARDIZATION PROCESS**

2.1 Effective date: [ ] [Month/Year]: to be completed by Secretariat

2.2 Applicability date: [ ] [Month/Year]: to be completed by Secretariat

**3. SUPPORTING DOCUMENTATION:**

3.1 ICAO documentation:

Title	Type	Publication date
Annex 9 to the Convention on International Civil Aviation Facilitation, Seventeenth Edition, March 2025	Manual	

3.2 External documentation:

Title	External Organization	Publication date

**4. IMPLEMENTATION ASSISTANCE TASKS**

Type	Global	Regional
[Seminar/Symposium/Workshop/etc.]		

**5. UNIVERSAL SECURITY AUDIT PROGRAMME (USAP)  
OR UNIVERSAL SAFETY OVERSIGHT PROGRAMME  
(USOAP)**

5.1 [No] [additional] protocol questions required under USAP [USOAP].

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## APPENDIX C

### DRAFT TERMS OF REFERENCE ICAO FACILITATION PANEL WORKING GROUP ON ANNEX 9 ESTABLISHED BY FALP/12 IN 2021

#### 1. Mandate

1.1 The Working Group on Annex 9 (WGA9), established by the Twelfth Meeting of the ICAO Facilitation Panel (FALP/12), shall review Annex 9 — *Facilitation* in order to maintain consistency of wording and structure and to preserve the clear and concise nature of the Standards and Recommended Practices (SARPs).

1.2 The Working Group shall identify and propose language for existing and/or new SARPs to ensure that the provisions of Annex 9 remain relevant and applicable to all ICAO Contracting States and commensurate with the current and foreseeable global aviation facilitation environment.

1.3 In fulfilling its mandate, the Working Group shall, inter alia:

- review for consistency existing SARPs of Annex 9 and propose amendments or removal where appropriate;
- propose language for new SARPs as instructed by the Facilitation Panel;
- consider relevant Assembly Resolutions, Facilitation Strategic Objectives, and proposals submitted by States, the ICAO Secretariat and the Facilitation Panel;

1.4 For each SARP, the Working Group shall assess whether it:

- a) contributes to the objectives and principles of Annex 9; and
- b) can be commonly interpreted and effectively implemented by States.

1.5 The Working Group shall serve as the focal point of the Facilitation Panel for all matters related to Annex 9 and shall coordinate, as appropriate, with relevant ICAO and external bodies.

#### 2. Membership

2.1 Membership of the Working Group shall be open to members of the ICAO Facilitation Panel and observers from States, international organizations and industry.

2.2 Subject matter experts may be co-opted to support the work of the Working Group on specific issues, including but not limited to public health, immigration, customs and border control.

2.3 Members of the Working Group are expected to actively contribute technical and policy expertise in support of the Group's mandate. All ICAO regions are encouraged to participate, with a view to ensuring, as far as practicable, broad regional representation in support of the development and review of Annex 9.

2.4 A list of current members of the Working Group shall be maintained and attached as an annex.

### **3. Rapporteur**

3.1 The Facilitation Panel shall appoint a Rapporteur and vice-Rapporteur for the Working Group from among its members.

3.2 The Rapporteur shall, inter alia:

- facilitate and coordinate the work of the Working Group;
- convene and chair meetings of the Working Group;
- circulate draft agendas and relevant working material in advance of meetings, normally at least two weeks prior to the meeting;
- coordinate inputs and draft proposals;
- report on behalf of the Working Group to the Facilitation Panel;
- coordinate, as appropriate, with the ICAO Secretariat, Task Forces, other UN agencies and ICAO Panels, Committees and working groups.

3.3 In the absence of the Rapporteur, the vice-Rapporteur shall perform in his place the tasks foreseen in paragraph 3.2.

### **4. Secretariat Support**

4.1 The ICAO Secretariat shall provide operational and administrative support to the Working Group, including participation in meetings, provision of relevant documentation, and updates on broader ICAO developments relevant to Annex 9.

4.2 The Secretariat shall draft the meeting report and submit it for approval to the Rapporteur. It shall also provide support for the preparation of the meeting and the drafting of new proposals, as appropriate.

4.3 The Secretariat shall maintain a dedicated section on the ICAO secure portal for the Working Group, including current working documents and reference material.

### **5. Working Methods**

5.1 The Working Group shall conduct its work in a collaborative manner and seek to reach consensus on its proposals.

5.2 The Working Group shall meet as necessary, as determined by the Rapporteur, including through virtual meetings where appropriate.

5.3 Between meetings, members of the Working Group may use ICAO approved platforms to exchange information and collaborate on draft proposals.

### **6. Sub-groups of the Working Group**

6.1 The Working Group may establish sub-groups as necessary for the performance of its functions. Each sub-group shall be established with a clearly defined mandate and for a period not exceeding one year, unless its mandate is renewed by the Rapporteur.

6.2 The Rapporteur shall appoint a focal point for each sub-group so established. The focal point is responsible for organizing meetings and producing meeting notes for the sub-group as it may not be supported by the Secretariat.

6.3 Sub-groups may invite subject matter experts or other relevant contributors to support their work. Such individuals may attend meetings of the Working Group only with the prior agreement of the Rapporteur.

## **7. Deliverables, Work Programme and Reporting**

7.1 The Working Group shall submit draft proposals for the amendment, introduction or removal of SARPs, together with supporting rationale, to the Facilitation Panel for consideration and approval where applicable.

7.2 The Working Group shall develop a work programme in support of its mandate and objectives and submit it as an appendix to its report.

7.3 In exceptional circumstances, the Rapporteur may propose amendments to an approved work programme. Any such amendments shall be agreed by the Working Group and communicated to the Facilitation Panel through the Secretariat

## **8. Duration and Review**

8.1 The Working Group shall continue its activities as directed by the Facilitation Panel.

8.2 These Terms of Reference may be reviewed and amended by the Facilitation Panel as necessary.